The Inspector General Assistance Function

“We’re here to help.”

Part I

Assistance Part 1

Your Assistance Instructor

- **Room 2103**
- **(703) 805-3906**
- **DSN 655-3906**

Administrative Notes

Assistance Part 1

- **Be on time for all classes.**
- **Please avoid all sidebar conversations and Web surfing during the class.**
- **Student Course Evaluation**
  - **I want to hear from you, but please be specific.**

Assistance Schedule

Assistance Part 1

- **The Seven-Step Inspector General Action Process (IGAP)**
- **Apply IGAP to Practical Exercises**
- **Receive a walk-in IGAR**
- **Extended Practical Exercise**
  - **IGARS 4.0 (Hands on)**
- **IG Issues (Day 10)**

- **Guest speakers**
  - **DAIG Assistance Chief**
  - **MEDCOM IG**
  - **Non-Support**
  - **DFAS IG**
  - **Post-Board Screening**

- **Homework**
  - **Due by 0800 on Day 7**

- **Quiz**
  - **20-Question Quiz on Day 7**

References

- **ST 2, *Advance Sheets*, pages 10-11**
- ***The Assistance & Investigations Guide***
- **AR 20-1, *Inspector General Activities and Procedures***
- **AR 600-20, *Army Command Policy***
- **AR 608-99, *Family Support, Child Custody, and Paternity***

Enabling Learning Objectives (ELOs)

ST 2, pages 10-11

Assistance Part 1

ELOs

1. **Describe the Seven-Step Inspector General Action Process (IGAP) used to receive, process, and resolve Inspector General Action Requests (IGARs).**

2. **Identify who may submit an IG complaint.**

ELOs

3. **Describe the IG concept of confidentiality and what steps an IG should take if the IG must release a complainant's name during the course of an Inquiry or Investigation.**

4. **Describe the purpose and uses of the DA Form 1559 (IGAR).**

ELOs

5. **Identify who is authorized to release IG records for official use within Department of the Army channels and what records a local IG may release.**

6. **Identify who is authorized to release IG records outside of Army channels for non-official use and how to process such a request.**

7. **Identify who is authorized to release IG records for adverse action.**

ELOs

8. **Describe the procedure for processing IGARs presented more than 10 years after the event occurred.**

9. **Describe the IG's role in receiving and resolving non-support cases in accordance with Army Regulation 20-1.**

ELOs

10. Describe the commander's role in receiving and resolving non-support cases in accordance with Army Regulation 608-99.

11. Identify issues and allegations that are not appropriate for the IG, and describe how the IG must process those IGARs.

12. Describe the actions an IG should take when a complainant withdraws a complaint.

ELOs

Assistance Part 1

13. Demonstrate the process of receiving an IGAR by conducting an interview, completing a DA Form 1559 (IGAR), asking the fundamental interview questions, advising the complainant of the Privacy Act, and protecting confidentiality.

14. Demonstrate the process of opening and closing an

Categories of IGs

AR 20-1, para 2-2, Pages 9-10,

A&I Guide, Section 1-3

Detailed Inspectors General

Assistance Part 1

- **Commissioned officers**
- **Receive and process requests for assistance**
- **Lead and Conduct:**
  - **Inquiries**
  - **Investigations**
  - **Inspections**
- **Administer oaths**
- **Wear IG insignia (but not in official photos)**

Assistant Inspectors General

Assistance Part 1

- **Chief Warrant Officer 2(P) and above**
- **Sergeant First Class and above (NCOs)**
- **Civilian employees (GS-9 and up)**
- **Wear IG insignia (but not in official photos)**
- **Administer oaths**
- **Receive and process requests for assistance**
- **Conduct IG inquiries**
- ***Help* detailed IG conduct**
  - **Investigations**
  - **Inspections**
- **Perform administrative duties**

Temporary Assistant Inspectors General

Assistance Part 1

- **Commissioned and warrant officers, enlisted Soldiers, and Department of the Army Civilians**
- **Augment an IG inspection or investigation – Subject-Matter Expert (SME)**
- **Approval:**
  - **<90 days: lowest level cdr authorized an IG**
  - **90-180 days: MACOM CG**
  - **>180 days: TIG**
- **Training:**
  - **<180 days: Command IG**
  - **>180 days: must attend The IG School**

Acting Inspectors General

Assistance Part 1

- **Commissioned officers**
- **Appointed by MACOM commander as additional duty**
- **Trained and sworn by a detailed IG**
- **Only provide assistance**
- **Must forward all IG records to detailed IG**
- **Typically assigned for geographically separated units**
- **More restrictions in AR 20-1, para 2-2f**

Other IGs: Unwilling and Unable

Assistance Part 1

- **Don’t do their jobs correctly**
  - **Slept through IG course**
- **Take sides during an inquiry**
- **Fail to assist complainants**
- **Do not take care of the commander, the Soldiers, the chain of command, or the Army**

Assistance Part 1

Other IGs: Decertified IG

- **Decertified because:**
  - **Pretended to be commanders**
  - **Released IG records without authority**

- **In the past, we drew a mustache on the relieved IG in his or her class photo**
- **But now, with the advent of the digital age, we just edit them out**

A Recent IG Class

Assistance Part 1

IG Class 02-XX

Assistance Part 1

U.S. Army Inspector

Assistance

Assistance Part 1

“The day Soldiers stop bringing you their problems is the day you have stopped leading them. They have either lost confidence that you can help them or concluded that you do not care. Either case is a failure of leadership.”

General Colin Powell

The Assistance Function

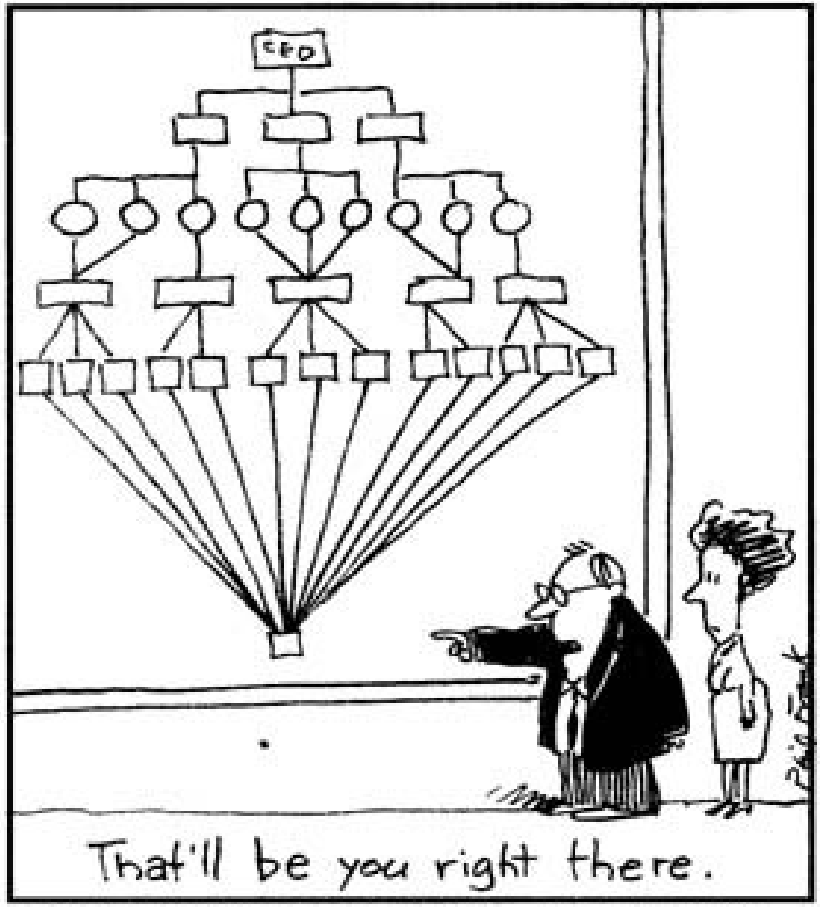
Assistance Part 1

- **Render assistance**
- **Assist Commanders to correct injustices**
- **Eliminate conditions detrimental to the efficiency or reputation of the Army**
- **Record and analyze data for corrective action**
- **Report on the status of the Army**

The Assistance Function

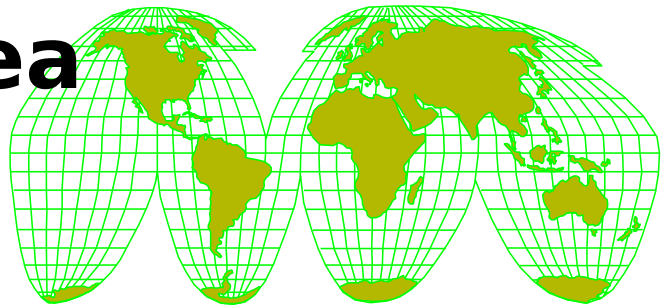
Assistance Part 1

- **Major contributor to the IG workload**
- **Complements Inspections and Investigations**
- **Teaching and training**



The Assistance Function Across the Army

- **Assistance and Investigations functions are usually combined (A & I Branch) below the DA level**
- **Heavy use of "IG Tech Channels"**
- **Conducted on an area basis**



AR 20-1, para 7-1

Inspector General Action Request

Assistance Part 1

Inspector General Action Request = IGAR .

IGARs

The process of:

- **Receiving**
- **Inquiring into**
- **Responding to:**
  - **Complaints**
  - **Requests for information**
  - **Requests for help**
    - **Presented or referred to an IG.**

Sources of IGARs

ELO

Assistance Part 1

- **Soldiers (Active & Reserve)**
- **Anonymous**
- **Department of Army Civilians**
- **Family Members**
- **Retirees / Veterans**
- **Commanders**
- **Other Services**
- **Government Agencies**
- **Civilian-Civilians**
- **Media**
- **Contractors**
- **Third Parties**

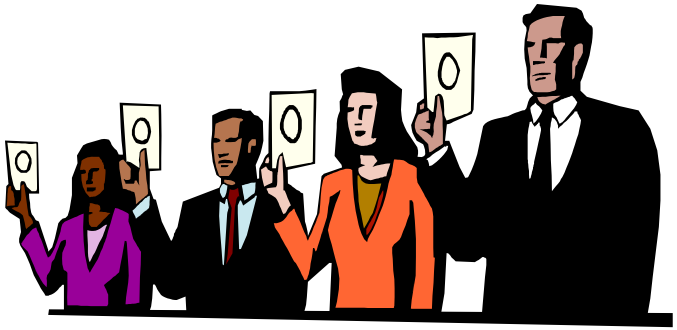
** **Foreign Nationals****

- **Referrals from:**
  - **Other IGs**
  - **Congress**
  - **White House**

Bottom Line

ELO

Anyone can submit an IG complaint



- **No precondition for coming to the IG**

AR 20-1, para 4-2

DA Form 1559 (IGAR)

ELO

Assistance Part 1

- **Base control document**
- **Document workload**
- **Identify trends**
- **Identify systemic issues**

A&I Guide,
Sect. 1-7-1

Assistance Part 1

INSPECTOR GENERAL ACTION REQUEST

For use of this form, see AR 20-1; the proponent agency is the Office of The Inspector General and Auditor General.

DATA REQUIRED BY THE PRIVACY ACT OF 1974

AUTHORITY: Title 10, USC, Section 3039.

PRINCIPAL PURPOSE: To secure sufficient information to make inquiry into the matters presented and to provide a response to the requestor(s) and/or take action to correct deficiencies.

ROUTINE USES: Information is used for official purposes within the Department of Defense; to answer complaints or respond to requests for assistance, advice or information by Members of Congress and other Government agencies when determined by The Inspector General and Auditor General to be in the best interest of the Army, and in certain cases in trial by court martial other military matters as authorized by the Uniform Code of Military Justice.

DISCLOSURE OF THE SOCIAL SECURITY NUMBER AND OTHER PERSONAL INFORMATION IS VOLUNTARY. HOWEVER, FAILURE TO PROVIDE COMPLETE INFORMATION MAY HINDER PROPER IDENTIFICATION OF THE REQUESTOR, ACCOMPLISHMENT OF THE REQUESTED ACTION(S) AND RESPONSE TO THE REQUESTOR.

LAST NAME - FIRST NAME - MIDDLE INITIAL	GRADE	SSN	DUTY TELEPHONE

COMPLETE PRESENT MILITARY ADDRESS *(If no military address, state current civilian address, including Zip Code)*

SPECIFIC ACTION REQUESTED

INFORMATION PERTAINING TO THIS REQUEST *(Use additional sheets if necessary; list inclosures if applicable)*

This information is submitted for the basic purpose of requesting assistance, correcting injustices affecting individual, or eliminating conditions considered detrimental to the efficiency or reputation of the Army. I fully understand that I may be held accountable for any statements which are proved to be knowingly untruthful.

DATE *(YYYYMMDD)*	SIGNATURE

DA FORM 1559, APR 2001 REPLACES EDITION OF OCT 89, WHICH IS OBSOLETE. USAPAV1.00

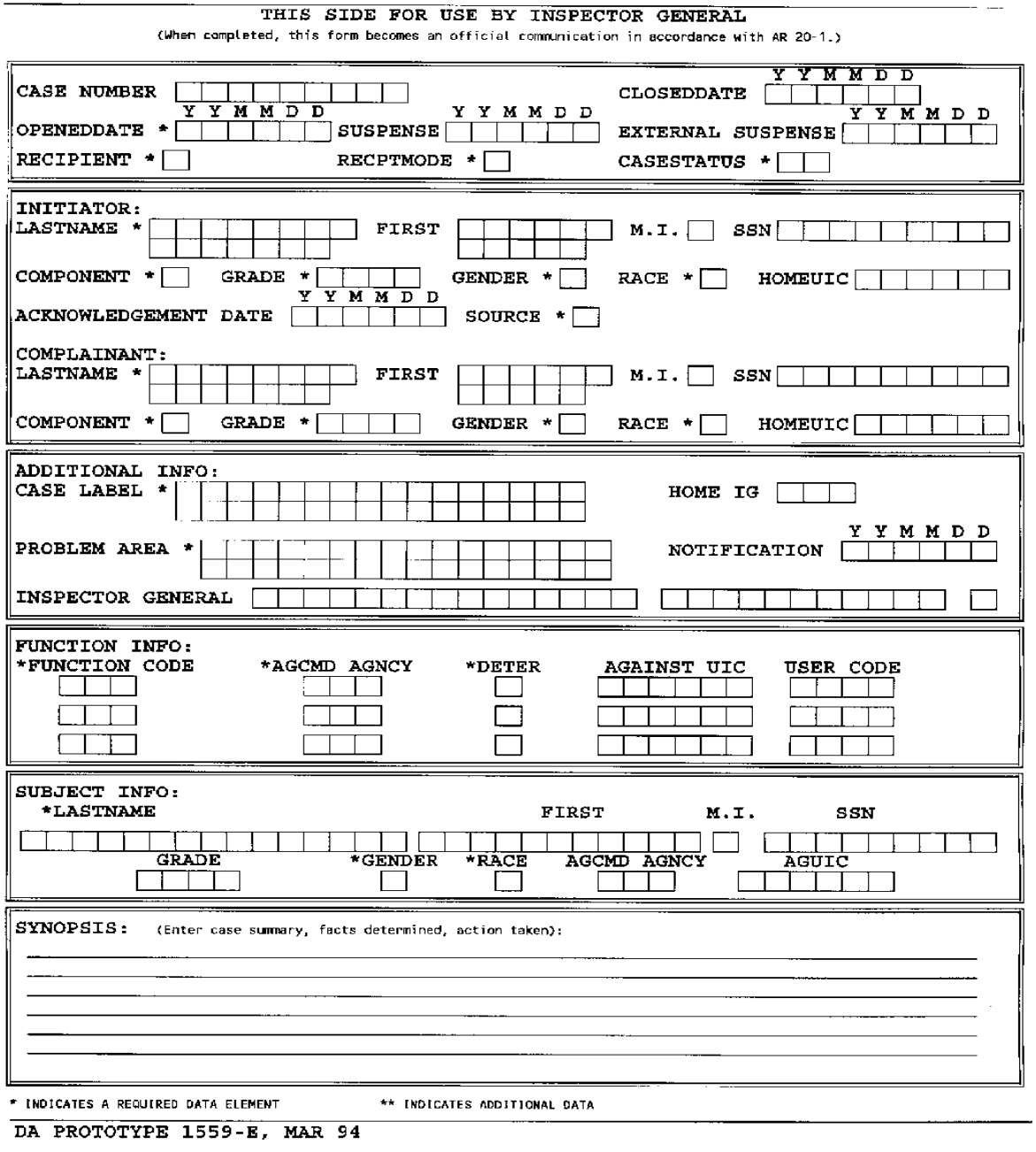
Be sure to get a good phone #

What do you want the IG to do for you?

A&I Guide, Sect. 1-7-1

Assistance Part 1

Here's the Database Hard-copy Blank 1559



THIS SIDE FOR USE BY INSPECTOR GENERAL

(When completed, this form becomes an official communication in accordance with AR 20-1.)

CASE NUMBER

CLOSEDDATE Y Y M M D D

OPENEDDATE * Y Y M M D D

SUSPENSE Y Y M M D D

EXTERNAL SUSPENSE Y Y M M D D

RECIPIENT *

RECPTMODE *

CASESTATUS *

INITIATOR:

LASTNAME * FIRST M.I. SSN

COMPONENT * GRADE * GENDER * RACE * HOMEUIC

ACKNOWLEDGEMENT DATE Y Y M M D D SOURCE *

COMPLAINANT:

LASTNAME * FIRST M.I. SSN

COMPONENT * GRADE * GENDER * RACE * HOMEUIC

ADDITIONAL INFO:

CASE LABEL * HOME IG

PROBLEM AREA * NOTIFICATION Y Y M M D D

INSPECTOR GENERAL

FUNCTION INFO:

*FUNCTION CODE *AGCMD AGNCY *DETER AGAINST UIC USER CODE

SUBJECT INFO:

*LASTNAME FIRST M.I. SSN

GRADE *GENDER *RACE AGCMD AGNCY AGUIC

SYNOPSIS: (Enter case summary, facts determined, action taken):

* INDICATES A REQUIRED DATA ELEMENT ** INDICATES ADDITIONAL DATA

DA PROTOTYPE 1559-E, MAR 94

A&I Guide, Sect. 1-7-2

Summary

1. Define “Detailed IG” and explain what functions they can conduct.

2. Define “Assistant IG” and explain what functions they can conduct.

3. Define “Temporary Assistant IG” and explain what functions they can conduct.

4. Define “Acting IG” and explain what functions they can conduct.

Summary

(continued)

5. Define Assistance.

6. Who may submit an IG complaint?

7. What is the purpose and use of DA Form 1559?

The Seven-Step IGAR

ELO

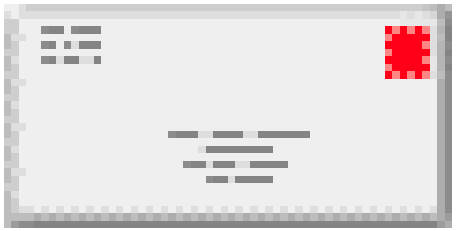
Assistance Part 1

1. **Receive the IGAR**
2. **Preliminary Analysis (issues / allegations, IG appropriate, open IGARS, acknowledge receipt, COA)**
3. **Refer & Notify**
4. **Fact-Finding**
5. **Notify**
6. **Follow-up**
7. **Close (final reply, close IGARS, reports, trends)**

STEP 1: Receive the IGAR

Assistance Part 1

- **IGARs come from the <u>in</u> crowd:**
  - **Walk-in**
  - **Call-in**
  - **Write-in**
  - **Email-in**



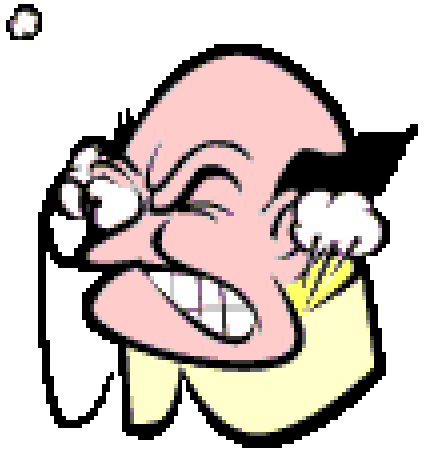
  - **In the Gym / PX**

AR 20-1, para 4-2

STEP 1: Receive the IGAR Walk-ins

Assistance Part 1

- **Private area**
- **Put complainant at ease**
- **Actively listen**
- **Maintain control**



AR 20-1, para 4-2e

A&I Guide, Sect. 2-1-1

STEP 1: Receive the IGAR Walk-ins Cont'd

Assistance Part 1

- **Remember: There are at least three sides to every story**
  - **Complainant**
  - **Other guy**
  - **Truth**

- **Establish a rapport but don**
  - **Buy in**
  - **Be an advocate**

- **Stay neutral**

STEP 1: Receive the IGAR Walk-Ins Cont'd

ELO

Assistance Part 1

Fundamental interview questions to ask:

1. **What do you want the IG to do for you?**

2. **Do you have any supporting documentation?**

3. **Have you asked for assistance from any other agencies?**

4. **Is the chain of command aware of the problem?**

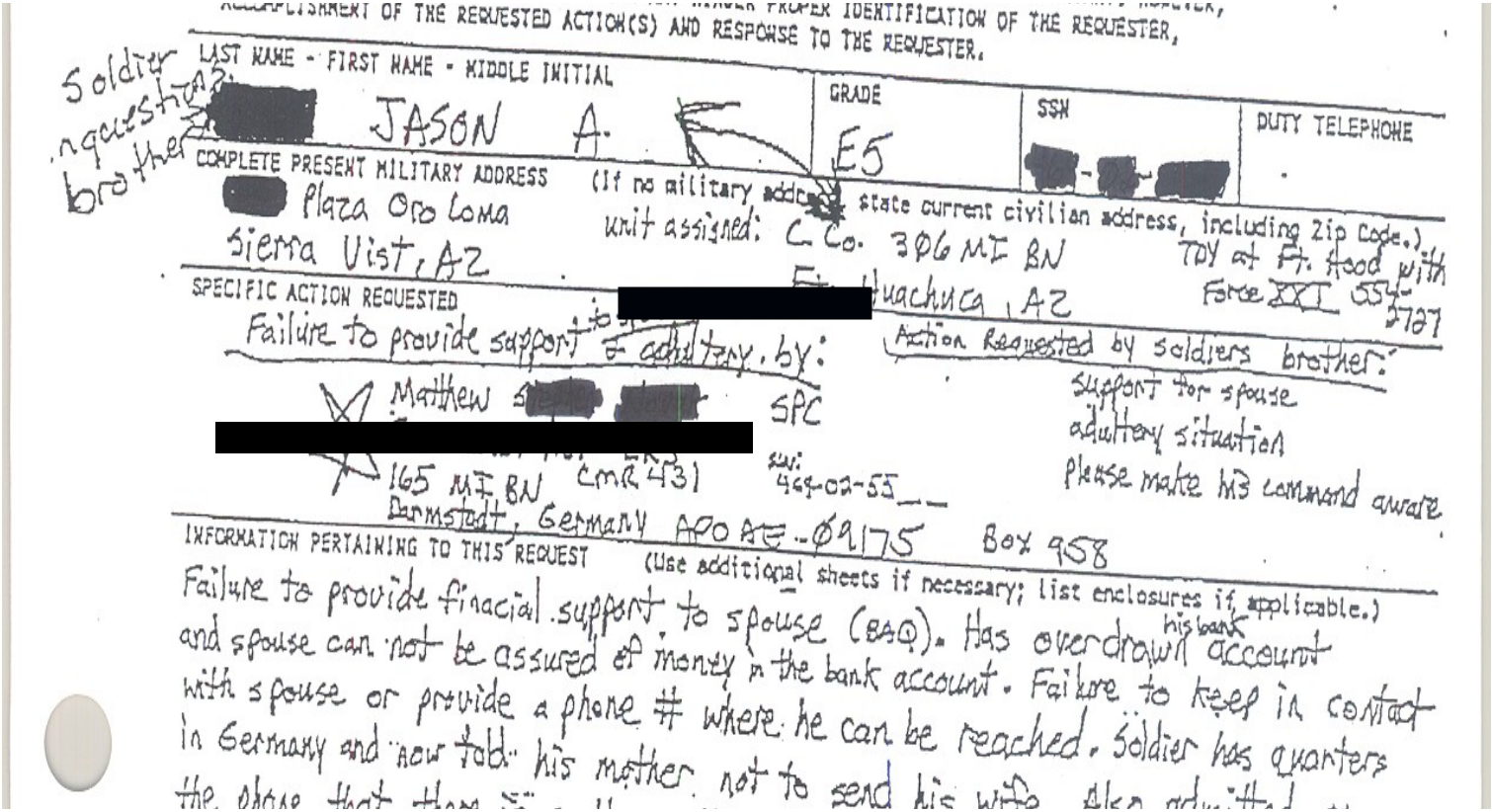
5. **What is your status?**

STEP 1: Receive the IGAR Walk-Ins Cont'd

Assistance Part 1

- **Complete the DA Form 1559**
- **Advise of Privacy Act**
  - **Disclosure of SSN is voluntary, but unless needed to resolve is**
- **IGs can assist in draftin**
- **Read back and clarify t ensure issues are understood**
- **Have complainant sign**

Poorly Written 1559s



ACCOMPLISHMENT OF THE REQUESTED ACTION(S) AND RESPONSE TO THE REQUESTER.

Soldier requesting assistance: brother

LAST NAME - FIRST NAME - MIDDLE INITIAL: [redacted] JASON A.

GRADE: E5

SSN: [redacted]

DUTY TELEPHONE:

COMPLETE PRESENT MILITARY ADDRESS (If no military address, state current civilian address, including Zip Code.)

[redacted] Plaza Oro Loma
Sierra Vist, AZ

unit assigned: C Co. 306 MI BN
Fr Huachuca, AZ

TDY at Ft. Hood with Force XXI 554-2787

SPECIFIC ACTION REQUESTED

Failure to provide support to adultery. by:

Matthew [redacted] SPC

[redacted]

165 MI BN CMR 431
Darmstadt, Germany APO AE 09175 Box 958

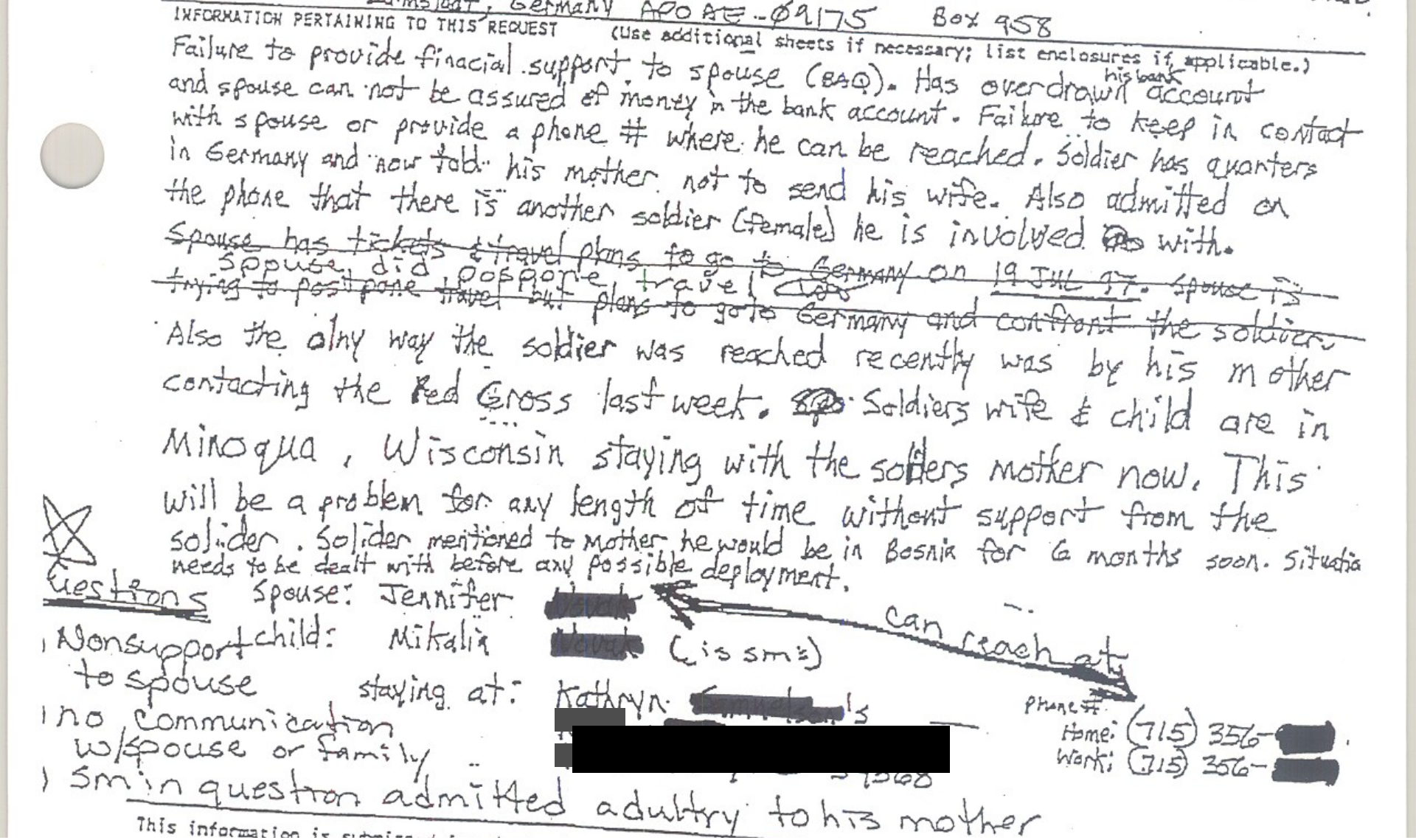
SSN: 464-02-55[redacted]

Action Requested by soldiers brother:
support for spouse
adultery situation
Please make his command aware

INFORMATION PERTAINING TO THIS REQUEST (Use additional sheets if necessary; list enclosures if applicable.)

Failure to provide finacial support to spouse (ESO). Has overdrawn his bank account and spouse can not be assured of money in the bank account. Failure to keep in contact with spouse or provide a phone # where he can be reached. Soldier has quarters in Germany and now told his mother not to send his wife [illegible]

- **Who is the complainant? What's his status?**
- **What's his duty phone number?**
- **What does he want the IG to do for him?**


INFORMATION PERTAINING TO THIS REQUEST (Use additional sheets if necessary; list enclosures if applicable.)
Box 958
Failure to provide finacial support to spouse (essO). Has overdrawn his bank account and spouse can not be assured of money in the bank account. Failure to keep in contact with spouse or provide a phone # where he can be reached. Soldier has quarters in Germany and now told his mother not to send his wife. Also admitted on the phone that there is another soldier (female) he is involved with.
Spouse has tickets & travel plans to go to Germany on 19 JUL 97. Spouse is trying to postpone travel but plans to go to Germany and confront the soldier.
spouse did postpone travel
Also the only way the soldier was reached recently was by his mother contacting the Red Cross last week. Soldiers wife & child are in Minoqua, Wisconsin staying with the soldiers mother now. This will be a problem for any length of time without support from the solider. Solider mentioned to mother he would be in Bosnia for 6 months soon. Situation needs to be dealt with before any possible deployment.
Questions
Spouse: Jennifer
Nonsupport child: Mikalia (is sm's)
to spouse
staying at: Kathryn
can reach at
Phone #:
Home: (715) 356-
Work: (715) 356-
no communication w/spouse or family
SM in question admitted adultry to his mother
This information is

- **Can you readily grasp the information pertaining to this request?**
- **Receiving IG should have rewritten the IGAR**

STEP 1: Receive the IGAR Walk-Ins Cont'd

Assistance Part 1

- **End the interview without commitment, except that:**
  - **We will look into the matter**
  - **We will provide a response, (if not 3rd party)**
  - **Complainant may have copy the 1559**

STEP 1: Receive the IGAR Call-Ins

Assistance Part 1

- **Ask for written follow-up if necessary**
  - **Supporting documents**
- **Read Privacy Act**
- **Read back the 1559**
- **Write "Telephonic" in signature block of the 1559**

AR 20-1, para 4-2f

A&I Guide Sect. 2-1-2

STEP 1: Receive the IGAR Write-Ins

Assistance Part 1

- **No need to transfer information to DA Form 1559**

INSPECTOR GENERAL ACTION REQUEST

For use of this form, see AR 20-1; the proponent agency is the OIG

DATA REQUIRED BY THE PRIVACY ACT OF 1974

AUTHORITY: Title 10, USC, Section 3020.
PRINCIPAL PURPOSE: To secure sufficient information to make inquiry into the matters presented and to provide response to the requester(s) and/or take action to correct deficiencies.

ROUTINE USES: Information is used for official purposes within the Department of Defense; to answer complaints or respond to requests for assistance, advice or information; by Members of Congress and other Government agencies when determined by The Inspector General to be in the best interest of the Army; and in certain cases in trial by court martial other military matters as authorized by the Uniform Code of Military Justice.

DISCLOSURE OF THE SOCIAL SECURITY NUMBER AND OTHER PERSONAL INFORMATION IS VOLUNTARY. HOWEVER, FAILURE TO PROVIDE COMPLETE INFORMATION MAY HINDER PROPER IDENTIFICATION OF THE REQUESTER, ACCOMPLISHMENT OF THE REQUESTED ACTION(S) AND RESPONSE TO THE REQUESTER.

LAST NAME - FIRST NAME - MIDDLE INITIAL	GRADE	SSN	DUTY TELEPHONE

COMPLETE PRESENT MILITARY ADDRESS *(If no military address, state current civilian address, including Zip Code.)*

SPECIFIC ACTION REQUESTED

See attached letter

INFORMATION PERTAINING TO THIS REQUEST *(Use additional sheets if necessary; list enclosures if applicable.)*

See attached letter

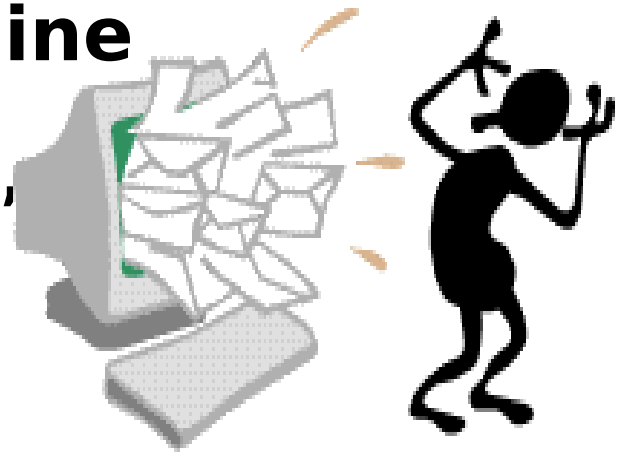
AR 20-1, para 4-2g

A&I Guide Sect. 2-1-3

STEP 1: Receive the IGAR Email

Assistance Part 1

- **Reply to complainant (in a new message) and request an address and phone number**
  - **Use a generic subject line**
    - **"Your Email"**
    - **NOT "Your IG Complaint"**



- **Do not discuss case by email**
  - **Email is not secure / confidential**

AR 20-1, para 4-2g; A&I Guide Sect. 2-1-

STEP 1: Receive the IGAR Anonymous

Assistance Part 1

- **Process like any other IGAR**
- **Don’t try to figure out who it**
- **If insufficient information, close the case**
- **Substantiation rate for anonymous allegations is slightly higher than signed IGARs**

AR 20-1, para 4-2h; A&I Guide Sect. 2-1-5

STEP 1: Receive the IGAR Confidentiality

ELO

Assistance Part 1

- **Ethically comparable to the doctor-patient relationship**
- **Protects individual privacy and maintains confidence in the IG System**
- **Need not be specifically requested**

AR 20-1, para 1-12; A&I Guide Sec 2-1

Confidentiality is Not Guaranteed

Assistance Part 1

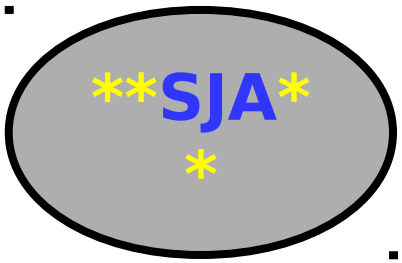
- **Nature of the issue**
- **Official use within the Army**
- **By direction of TIG**
- **Legal proceedings (call DAIG Legal)**

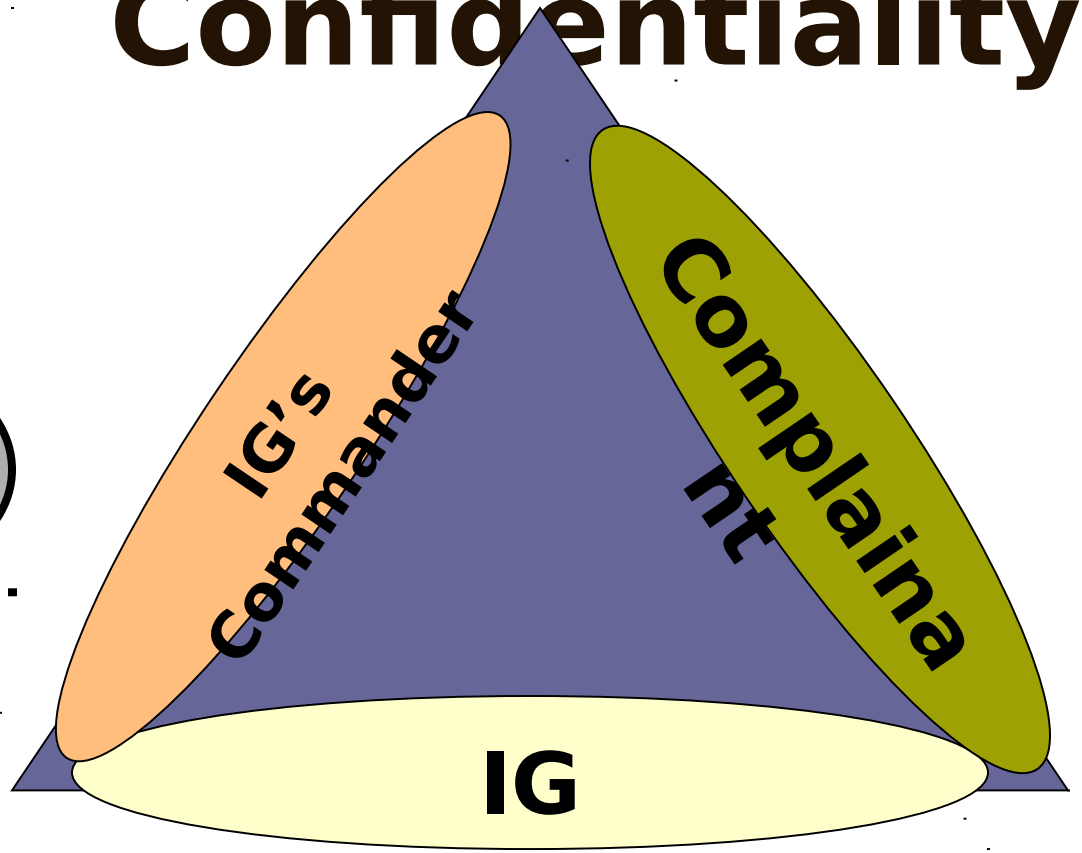
- **If unavoidable, try to contact complainant before disclosure**

AR 20-1, para 1-12; A&I Guide Sec 2-1-1

Triangle of Confidentiality

Assistance Part 1





- Protect privacy
- Minimize risk of reprisal
- Maintain confidence in the IG system
- **SJA vs. JAG

AR 20-1, para 1-12

STEP 2: Conduct IG Preliminary Analysis (IGPA)

Assistance Part 1

- **A thought process to determine how best to proceed, may take <u>minutes</u> / <u>hours</u> / <u>days</u>**
- **Sub-Steps of Preliminary Analysis**
  - **Identify issues / allegations**
  - **Determine IG appropriateness**
  - **Open the case in IGARS**
  - **Acknowledge receipt**
  - **Select COA**

AR 20-1, para 4-3; A&I Guide Sect. 2-2

STEP 2: Conduct IGPA: Identify Issues / Allegations

Assistance Part 1

- **IGs should always look for:**
  - **Larger issues**
  - **Implied allegations**
  - **Systemic problems**
  - **Condoning of wrongdoing**

AR 20-1, para 4-4; A&I Guide Sect 2-2

STEP 2: Conduct IGPA Identify Issues / Allegations

Assistance Part 1

- ***Issue:*** **a request for information or assistance to the IG that does not have an "who" as the violator of standards or policy--the outcome is either *FOUNDED or UNFOUNDED.***

- ***Allegations:*** **an issue that lists "who" violated the standards or regulations--the outcome *is either SUBSTANTIATED or NOT SUBSTANTIATED.***

- **Complaints: an expression of dissatisfaction or discontent with a process or system.**

  "Privates should get paid the same BAH as officers."

20-1, para 4-3, 4-4; A&I Guide Sect. 2-2-1-1, 2, and 3

STEP 2: Conduct IGPA Identify Issues / Allegations

Assistance Part 1

- **An Allegation contains four parts:**
  - **Who**
  - **"Improperly"**
  - **Did what**
  - **"In violation of" an established standard.**
- **The IG formulates the allegation-not the complainant**
- **An Investigation or Investigative Inquiry is *required* for all allegations!!**
- **If there's no "*who*", it's an ISSUE!**

AR 20-1, para 4-4; A&I Guide Sect. 2-2-1-

Assistance Part 1

Properly Worded Allegations?

- **CPT Knight began harassing Soldiers in the September time frame.**
- **SGM Butts improperly drinks too much on duty.**
- **The finance office improperly failed to process my TDY voucher in a timely manner in violation of 66th ID Finance Battalion SOP.**
- **LTC Bailey improperly relieved a commander in violation of AR 600-20.**

Assistance Part 1

STEP 2: Conduct IGPA: Determine IG Appropriateness

- **If the matter is Army related, you decide:**
  - **What is appropriate for the IG to work**
  - **Or refer to:**
    - **Chain of command**
    - **Other agencies**
    - **Other IGs**

- **Many matters raised to an IG may not be appropriate for the IG to work**

AR 20-1, para 4-4; A&I Guide Sect. 2-2-2

STEP 2: Conduct IGPA: Determine IG Appropriateness

Assistance Part 1

- **Don’t automatically categorize the whole IGAR as not IG appropriate.**
  - **For example, a criminal complaint will be referred to Military Police Investigations (MPI) for action. However, there may be other issues within the original complaint that the IG will continue to work.**
  - **Remember to look for systemic issues.**

AR 20-1, para 4-4; A&I Guide Sect. 2-2-2

STEP 2: Conduct IGPA Open the Case in IGARS

Assistance Part 1

- **After you've determined IG appropriateness, open a new case in the IGARS database**
- **See A&I Guide, Chap.**

STEP 2: Conduct IGPA Acknowledge Receipt

Assistance Part 1

- **May be *verbal or written***
- **Advise that you have received the IGAR**
- **If issue is appropriate for IG**
  - **AND complainant has right to know:**
    - **Inform individual that you will provide a response**

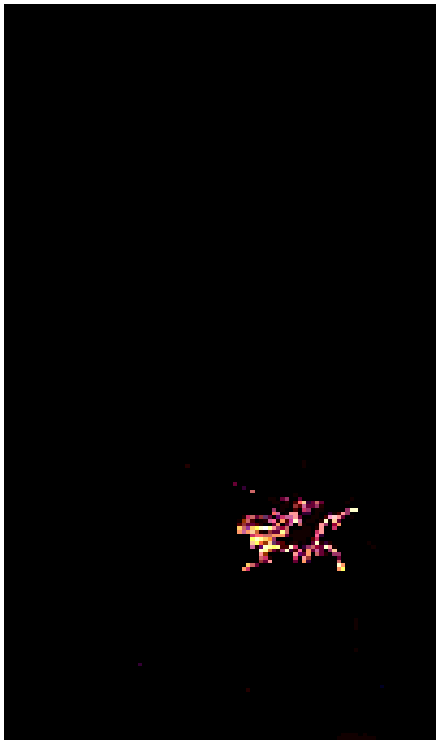
  - **BUT the complainant is not directly affected**
    - **Send a third party response thanking them for their concern telling them that you will look into the matter**

AR 20-1, para 4-5; A&I Guide Sect. 2-2-3

Third Party IGARs

Assistance Part 1

- **Response to third party depends on:**
  - **Right to know**
  - **Individual concerned consents to release of information**
  - **Privacy Act Information Release Form**



PRIVACY ACT INFORMATION RELEASE FORM

I, _____, SSN___-__-____, authorize access or release of any Inspector General records pertaining to me to (either specific individuals or for general release).

_____ Date **_____ Signature**

_____ Date **_____ Witness**

AR 20-1, para 4-5; A&I Guide Sect. 2-2-3-2

STEP 2: Conduct IGPA Acknowledge Receipt

Assistance Part 1

- **Issue is <u>not</u> appropriate for IG:**
  - ✓**Acknowledge receipt of the IGAR**
  - ✓**Inform the complainant why not appropriate**
  - ✓**Give information on the appropriate office that can address the issue**
    - **Forward to that agency <u>if possible</u>**
    - **Some agencies require certain formats**
      - **Example: Army Board for Correction of Military Records (ABCMR) requires submissions on DD Form 149, *Application for Correction of Military Record***

STEP 2: Conduct IGPA
Selection of Course of Action

Assistance Part 1

- ✓ **Inspection**
- ❖ **Assistance Inquiry**
- ❖ **Investigative Inquiry or Investigation**
- ❖ **Refer to another agency**

Investigations Class Next Week

AR 20-1, para 4-5b; A&I Guide Sect. 2-2-

Summary

- In what step of the seven-step IGAP process do you receive the IGAR?

- When receiving the IGAR, what are the fundamental interview questions you ask the complainant?

- How do we refer to confidentiality in the IG system?

- Do IGs ever guarantee confidentiality?

- What are the five sub-steps to IGPA?

Assistance Part 1

STEP 3: Initiate Referrals and Make Notifications

- **Matters that are not IG appropriate are referred to the proper agency, and the IG case is closed.**
  - **Exception: matters referred to the chain of command. In that instance, the IG will monitor the case after the referral is made to ensure the chain of command takes proper action.**

AR 20-1, para 4-6a; A&I Guide Sect. 2-3-

STEP 3: Initiate Referrals and Make Notifications

- **Notifications are part of the investigative inquiry and investigation process.**

- **Wait for the Inquiries and Investigations block of instruction to hear all about it!**

AR 20-1, para 4-6a; A&I Guide Sect. 2-3-

Assistance Part 1

STEP 4 : Conduct IG Fact-Finding

- **IG Fact-Finding consist of:**
  - **Inspection *(Directive Required)***
  - **Assistance Inquiry (No permission needed)**
  - **Investigative Inquiry (No permission needed)**
  - **Investigation *(Directive Required)***

A&I Guide Sect. 2-4

STEP 4 : Conduct IG Fact-Finding

Assistance Part 1

- **IG INSPECTION:**
  - **Led by a detailed IG and oriented toward the identification of problems, determination of their root causes, development of possible solutions, and assignment of responsibilities for correcting the problems.**
  - **Focuses on systemic issues rather than on units.**
  - **Scope and content determined by the IG's commander.**

AR 20-1, para 4-7; A&I Guide Sect. 2-4-5

- **ASSISTANCE INQUIRY**
  - **An <u>informal</u> fact-finding process used to address or respond to a complaint involving a request for help, information, or issues and not allegations of impropriety or wrongdoing.**

AR 20-1, para 4-7;
A&I Guide, Sect. 2-4-2

STEP 4 : Conduct IG Fact-Finding

Assistance Part 1

- **INVESTIGATIVE INQUIRY:** an <u>informal</u> fact-finding process by detailed IGs into allegations, issues, or adverse conditions.

- **INVESTIGATION:** a formal fact-finding process conducted by detailed IGs into allegations, issues, or adverse conditions.

AR 20-1, para 4-7; A&I Guide Sect. 2-3, 2

Assistance Part 1

STEP 5: Make Notifications of Results

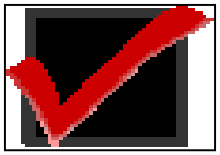
- **If assistance was provided, provide the complainant information pertaining directly to him / her.**
- **Remember third party and Privacy Act rules!**
- **Notifications need to be annotated in case notes on IGARS database**

AR 20-1, para 4-8; A&I Guide Sect. 2-5

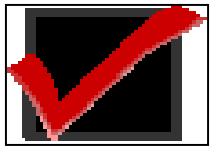
STEP 6: Conduct Follow-up

Assistance Part 1

- **IG can contact complainant, have the complainant contact the IG, or address in future inspection**



Ensure issues were thoroughly addressed



Ensure all IG responsibilities are fulfilled

AR 20-1, para 4-9; A&I Guide Sect. 2-6-

STEP 7: Close the IGAR

Assistance Part 1

1. **Provide complainant a final reply**

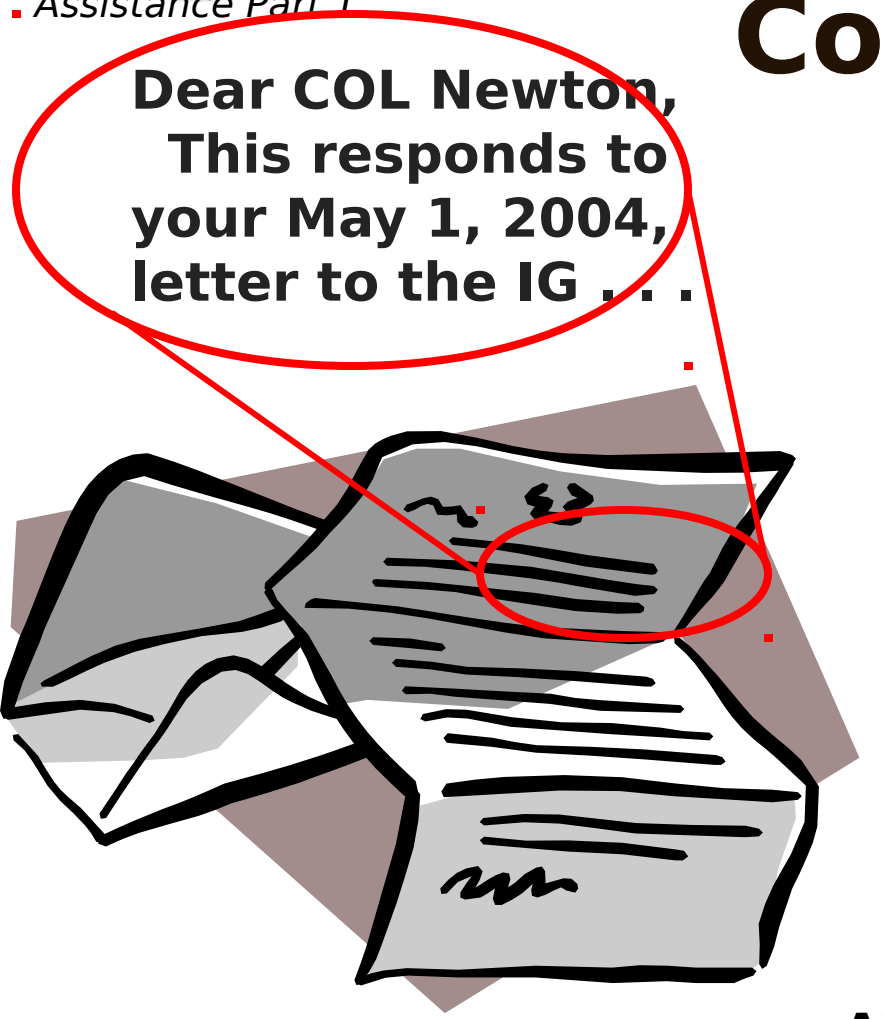
2. **Close the file in IGARS database**

3. **Make appropriate reports**

4. **Analyze developing trends**

AR 20-1, para 4-10; A&I Guide Sect. 2-7

STEP 7 – Close the IGAR
Final Reply to Complainant



- **Prepare a response to the complainant:**
  - **Address the complaint**
  - **Summarize the facts and conclusions that pertains to complainant**
  - **Maintain confidentiality**

- **Will be in writing**
- **Annotated in IGARS case file**

AR 20-1, para 4-10; A&I Guide Sect. 2-7-

STEP 7: Close the IGAR

Final Reply to Complainant

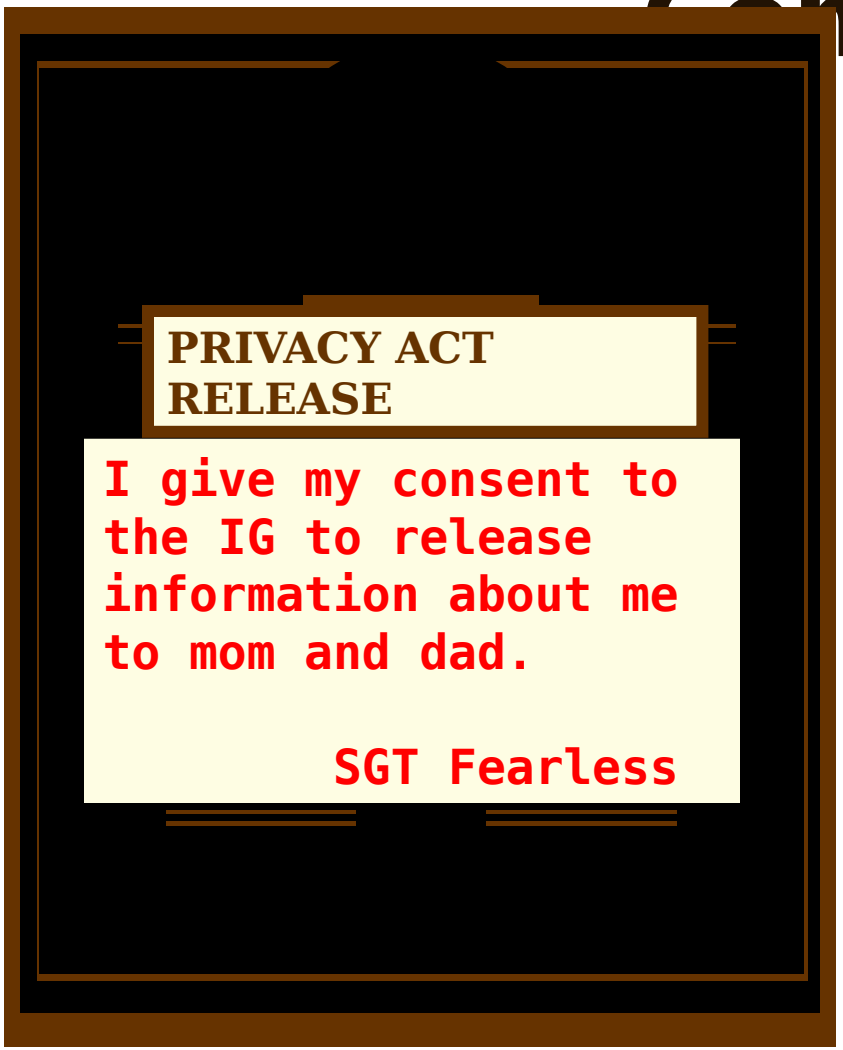
- **Replies normally should not contain:**
  - **Classified information**
  - **Information / documents from outside agencies without their permission**
  - **Identity of sources or techniques used**
  - **All information surfaced**
  - **Results of disciplinary action**
  - **Information that violates privacy of others**

AR 20-1, para 4-10; A&I Guide Sect. 2-7-

STEP 7: Close the IGAR

Final Reply to Complainant

Assistance Part 1



- **Third-party complaint**
  - **Privacy Act release Sample in A&I Guide, Sect. 2-2-3-2**
  - **No right to know results if the issues do not directly pertain to complainant.**

Assistance Part 1

STEP 7: Close the IGAR
Close the Case in IGARS

- **Code the case IAW A & I Guide, Chapter 3**
- **Enter the function code that best describes each issue or allegation**
  - **Be as specific as possible**
  - **Accurate entries make the database useful and the information gleaned from it meaningful.**
  - **First, identify the major functional area.**
    - **Under each functional area are the codes for the categories (2 characters) and subcategories (3 characters).**

AR 20-1, para 4-10; A&I Guide Sect. 2-7-

Function Codes Major Areas

Assistance Part 1

- **A - Acquisition**
- **B - Resource Management**
- **C - Information Systems**
- **D - Supply**
- **E - Engineer/Facilities**
- **F - Force Development**
- **G - Maintenance**
- **H - Health Care**
- **I - Intelligence**
- **J - Legal**
- **K - Finance &Accounting**
- **L - Transportation**
- **M - Manpower Management**
- **N - Personnel Mgmt-Military**
- **O - Personnel Mgmt-Civilian**
- **P - Operations**
- **Q - Community/Install Support**
- **R - Res/Devel/Test/Eval (RDTE)**
- **S - Services**
- **T - Training**
- **U - Insp/Audits/Assist/Invest**
- **V - Nuclear & Chem Tech Insp**
- **W - Public Affairs**
- **X - Law Enforcement/Security**
- **Y - Cmd/Mgmt of Organizations**
- **Z - Personal Conduct**

Zulu Function Codes

Assistance Part 1

- **Z Personal Conduct**
  - **ZA Discrimination**
  - **ZB Harassment/Maltreatment**
  - **ZC Standards of Conduct/Ethics**
  - **ZD Other UCMJ/Crim Violations**
  - **ZE Recruiter Impropriety**
  - **ZF Privacy Act Violation**
  - **ZG Uniform Standards**
  - **ZH AWOL**
  - ***ZI Unoff Use of Govt Resources***
  - **ZZ Personal Conduct (Other)**

Assistance Part 1

ZI -- Unofficial Use of Government Resources

- **Allegations of the unofficial use (misuse) of government-owned resources. Use specific codes below**
  - **ZI1 -- Phone DSN/COML**
  - **ZI2 -- Computers**
  - **ZI3 -- Govt Owned Vehicle**
  - **ZI4 -- Personnel**
  - **ZI5 -- Govt Travel Card**
  - **ZI6 -- IMPAC Credit Card**
  - **ZI7 -- Travel Benefits**

Assistance Part 1

Examples

- **A Soldier complains about how PT is conducted**
  - **TE Unit PT Program & APFT**
- **A corporal complains about PLDC**
  - **TJ1 PLDC**
- **A Department of the Army Civilian (DAC) complains about unfair hiring**
  - **OC2 Unfair Hiring**

STEP 7: Close the IGAR
Agency / Command Codes

Assistance Part 1

- **Select the code that best identifies where the allegation, issue, or complaint exists**
  - **If your CG <u>can't fix</u> it, don't use your command code**

- **To find the Agency / Command Codes, start by finding the MACOM**

Agency / Command Codes

Assistance Part 1

1 First Army
3 Third Army
5 Fifth Army
7 Reserve Cmd
8 Eighth Army
A Army Audit Agency
B Criminal Invest Cmd
C Information Sys Cmd
D Dept of Army
E Europe & Seventh Army
F FORSCOM
G Govt Agencies
H MEDCOM
I Intel & Security Cmd
J Joint Activities
K Corps of Engineers
L Dept of Defense
M MTMC
N National Guard
O Other
P Pacific Command
Q Deployed Units
R Recruiting Command
S USARSO
T TRADOC
U MEPCOM
V Strategic Defense Cmd
W MDW
X AMC
Y Military Academy
Z Misc organizations

Assistance Part 1

Examples

- **A lieutenant who just transferred from Fort Knox, presents an IGAR about her out processing appointment**
  - **TA Fort Knox**

- **A sergeant needs help getting an allotment corrected here on Fort von Steuben**
  - **OTR Training Database (FVS)**

STEP 7: Close the IGAR Determination Codes: SNA

- **SUBSTANTIATED (S)**
  - **The conclusion of "substantiated" will be used when a preponderance of credible evidence exists to prove the allegation.**

- **NOT SUBSTANTIATED (N)**
  - **The conclusion of "not substantiated" will be used when a preponderance of credible evidence does not exist to support the allegation.**

AR 20-1, para 4-10; A&I Guide Sect. 2-7-2

Assistance Part 1

STEP 7: Close the IGAR Determination Codes: SNA

- **ASSISTANCE (A)**
  - **Providing advice or guidance**
  - **Request for assistance is resolved by the IG**
  - **Referral to an agency other than the IG to resolve the problem**

- **Example, a criminal complaint referred to MPI. The IG provided assistance by placing the complaint into the proper channels.**

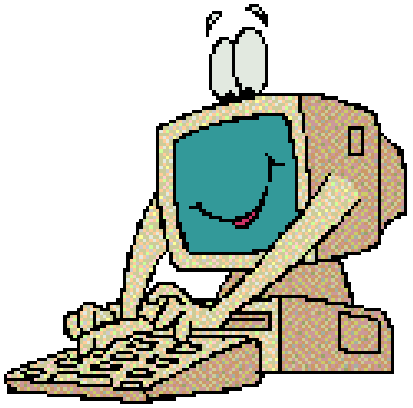
AR 20-1, para 4-10; A&I Guide Sect. 2-7-

STEP 7: Close the IGAR
Close the Case in IGARS

Assistance Part 1

- **Finish Case notes**

- **Complete synopsis**
  - **Stand-alone document**
  - **Who, what, when, where, and how**

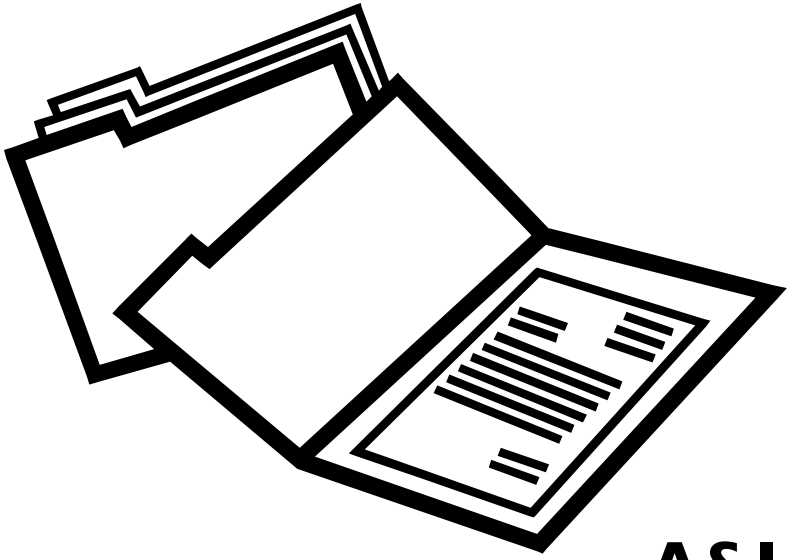


A&I Guide, Sect 2-7-2

STEP 7: Close the IGAR
Make Appropriate Reports

Assistance Part 1

- **These reports are covered in your local Standard Operating Procedures (SOP)**

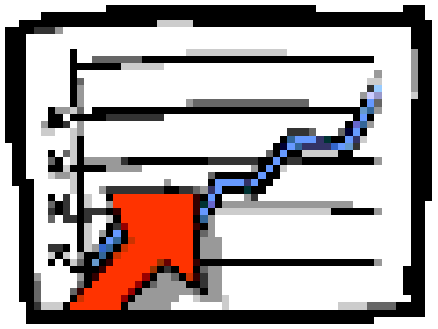


A&I Guide, Sect 2-7-2

STEP 7: Close the IGAR
IGAR Analysis

Assistance Part 1

- **Trends**
  - **Look for both positive and negative trends**
  - **Ensure all IG's are coding similar cases with same function codes**
  - **Look for seasonal trends**



- **Systemic issues**
  - **Office workload**
  - **Source of IGARs**
  - **Most frequent function codes**
  - **Most substantiated function codes**

A&I Guide, Sect 2-7-2

STEP 7: Close the IGAR

Assistance Part 1

- **If complainant is not satisfied with response:**
  - **Reexamine inquiry and response for completeness at local level**
  - **Refer to next higher IG**
  - ***Don't take it personally!!***

AR 20-1 para 4-10c

Case Notes

- **A chronological listing of a case history used to fully identify the complainant, the allegations, issues, or assistance requested; the subject of the allegations; the actions you intend to take in resolving the case; and the IG you will task to work the case.**

- **Start each entry with the date and the action officer's last name, for example:**

30 Sep 03 (Britton)……

Assistance Part 1

Example of Case Notes

25 Sep 03 (Britton) Received case. Complainant requested assistance in getting pay problem corrected. Phoned finance to inquire into complainant's request. Mrs. Jones of the Ft. Belvoir finance office (703) 805-1111 informed me that this problem was corrected and that the Soldier should receive his correct pay on 1 Oct --.

The Seven-Step IGAP

Assistance Part 1

ELO

1. **Receive the IGAR**
2. **Preliminary Analysis (issues / allegations, IG appropriate, open IGARS, acknowledge receipt, COA)**
3. **Refer & Notify**
4. **Fact-Finding**
5. **Notify**
6. **Follow-up**
7. **Close (final reply, close IGARS, reports, trends)**

IGNET Log-In

Assistance Part 1

Summary

- When referring a case to the chain of command, do we keep the case open or close the case?

- IG Fact-Finding consists of what four items?

- In Step five, when making notification of results, what information do you provide to the complainant?

- In Step six, why do we conduct follow-up?

- Step seven, Close the IGAR, consists of what four things?

A Simple Assistance Case

It’s Almost Too Easy . . .

STEP 1: Receive the IGAR

Assistance Part 1

- **Mrs. Williams states that her family has not received travel orders for their travel to Europe. Her husband is in Germany and signed for quarters one month ago, but no one knows what happened to the travel orders.**

STEP 2: Conduct IG PA

Assistance Part 1

- **Issue:**
  - **Request for assistance in obtaining travel orders**
- **Appropriate for IG?**
  - **Yes**
- **Acknowledge receipt:**
  - **Send letter of acknowledgment to Mrs. Williams**
- **Course of action:**
  - **Assistance inquiry**

Assistance Part 1

STEP 3: Initiate Referrals & Make Notifications

- **Referrals?**
  - **No**
- **Notifications?**
  - **Assistance inquiry**

STEP 4: IG Fact-Finding

Assistance Part 1

- **Contact the local Adjutant General (AG) or the G-1 to check on this matter**

STEP 5: Notification of Results

- **Phoned Mrs. Williams and explain what you learned from G-1**

Assistance Part 1

STEP 6: Follow Up

- **Checked back with G1 / Mrs. Williams to see if the travel orders were received by her.**
  - ***(Ensure issues were thoroughly addressed)***
  - ***(Ensure all IG responsibilities were fulfilled)***

Assistance Part 1

STEP 7: Close the IGAR

- **Send Mrs. Williams her final reply**
- **Close the case in IGARS**
  - **Function code?NB5 - Family Member Travel**
  - **Agency / Command Code OTR - Ft Von Steuben**
  - **Determination Code- A (Assistance)**
- **Make appropriate reports**
- **Analyze developing trends**

Assistance Part 1

Questions?